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Attorney's Docket No. 38866/235737

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re: R. Raymond May  
Appl. No.: 09/879,372  
Filed: June 11, 2001  
For: SYSTEMS AND METHODS FOR REVERSE AUCTIONS OF DERIVATIVES

Group Art Unit: 2164  
Examiner: To be assigned

May 7, 2002

Commissioner for Patents  
Washington, DC 20231


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**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT  
CITATION UNDER 37 C.F.R. § 1.97**

Sir:

Attached is a list of documents on form PTO-1449 together with a copy of each identified document. It is requested that the Examiner consider these documents and officially make them of record in accordance with the provisions of 37 C.F.R. § 1.97 and Section 609 of the MPEP. By submitting the listed documents, Applicant in no way makes any admission as to the prior art status of the listed documents, but is instead submitting the listed documents for the sake of full disclosure.

Respectfully submitted,

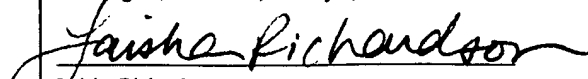
  
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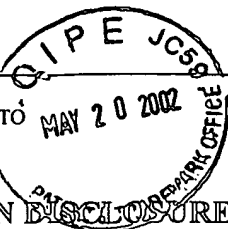
  
Laisha Richardson

Substitute for form 1449A/PTO  
(Revised 10/2001)

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 1 of 2



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Application Number 09/879,372  
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First Named Inventor R. Raymond May  
Group Art Unit 2164

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Examiner Name To be assigned  
Attorney Docket Number 38866/235737

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**U. S. PATENT DOCUMENTS**

Examiner Initials*	Cite No.	Document Number Number - Kind Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee of Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages of Relevant Figures Appear
	1	US-5,950,175	09-07-1999	Austin	
	2	US-6,195,647	02-27-2001	Martyn et al.	

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**FOREIGN PATENT DOCUMENTS**

Examiner Initials	Cite No.	Foreign Patent Document Country Code - Number Kind Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T
	3	EP 0512702 A2 ✓	11-11-1992	Reuters Limited		

Examiner  
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Sheet 2 of 2

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OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

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Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T
	4	RABATIN, Adaptive Portfolio Trading Strategies for Forex Portfolios, Journal, April 1997, Pages 1-11, Issue 4, Rabatin Investment Technology	
	5	HIGGENS, Managing the Risk of Your Global Bond Portfolio, Journal, April 1996, Pages 13-16, Issue 0951-3604, Global Investor	
	6	AVANZATO, How to Use The Collateral Carousel, Journal, January 1998, Pages 29-31, Issue 0262-6969, International Financial Law Review	
	7	LUDWIG, Supervision by Risk, Journal, November 1995, Pages 52-60, Issue 1062-6271, Journal of Commercial Lending	
	8	Derivatives Tool Merger, Report, February 19, 1996, Page 4, Volume 28, Number 4, Issue 1042-7252, Software Industry Report	
	9	MAGUIRE, Details on Derivatives AIG Breaks Down Exposure, Journal, June 13, 1994, Page 1, Number 23, The Insurance Accountant	
	10	TDC Symbology Guide, Article, November 2001, Pages 1-14, Track Data Corporation, Brooklyn, United States	

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